

DFA
LEAVE RECONCILIATION
&
FILE AUDITING PROCEDURES

Introduction

As a DFA Leave Administrator and Timekeeper it is very important to keep accurate leave records for the benefit of the employee, the agency, and for Legislative and Internal Audit occasions.

The following pages will guide and give you, almost, step by step instructions to accomplish just that. We recommend that leave balances are reconciled on a monthly basis for each employee that you administer and or key time for.

By doing this monthly process, when/if an employee retires, terminates, or transfers out of this agency, you will be able to have his file ready for auditing by the DFA HR Central Office staff almost immediately, which will result in a faster turn around for the employee to receive his Leave Payout. He or she will thank you for it!

Always remember that the DFA Central Office Staff is here to answer your questions and provide you with assistance when necessary. Please don't hesitate to call on us whenever you need to.

Another valuable tool for you is our website. To find policies, procedures, and forms that you will need as you follow these procedures.

Monthly Leave Reconciliation

1. Post manual Time sheets to manual Yearly Calendar and compute manual balances at the end of each month.
2. Run the Absence Quota Information (PT_QTA10) Report each month after the end of the month in order to pick up the preceding month accruals in AASIS. If you find a discrepancy and make corrections in AASIS, you will have to run the report again in order to have updated and accurate information.
3. Compare each person's manual leave balances with the balances in the Quota Overview Report (PT50). If these balances do not agree, follow the steps to view AASIS attendances/absences keyed for this individual. Print the report and check against manual Annual Leave Calendar postings made.
4. Once you identify the problem, make the necessary change to the manual records and recalculate figures, or change the AASIS time sheet. If you change the time sheet remember that those changes will have to be approved to be validated in the system, and a time transfer and evaluation will be necessary for the changes to be noted in PT50 and Absence Quota Information Report. Contact us and we will be glad to help you with that.
5. If the leave totals are still not in balance, check the leave accruals for this employee to see if the number of hours accrued has changed. Instructions are enclosed.

Monthly Leave Reconciliation Checklist

- ☐ Post time sheets to manual records every pay period.
- ☐ Compare manual time sheets to manual leave calendars for discrepancies. Verify leave slips against entries on manual time sheet.
- ☐ Run and print PT_QTA10, Absence Quota Information Report, to get end of month AASIS balances for all employees you key time for.
- ☐ Compare manual leave calendar to AASIS Absence Listing for discrepancies.
- ☐ Make necessary changes to manual records **OR** change AASIS time sheet. Contact DFA HR to complete the process.
- ☐ Check Accruals in PT50 in case you don't balance.
- ☐ Manual leave balances and AASIS balances on the report should agree.
- ☐ Re-run PT_QTA10 Absence Quota Information Report to verify any and all changes made to the AASIS time sheets. Compare balances.

To find forms and other important information go to:

www.state.ar.us/dfa/hr/hr_index.html

Preparing Terminated Files for Internal Audit

1. Assemble all leave records for the last two years (current year and year before)
2. Chronologically arrange manual time sheets and leave requests, check for signatures and total number of hours worked each week clearly marked.
3. Yearly calendars for the last two years.
4. Print a screenshot of PT50 which should balance with manual calendar.
5. If this employee accrued Compensatory Time, a Compensatory Leave Chart must be included. In order to verify comp time earned, the number of hours worked each week must be shown on the timesheets. Incomplete time sheets that do not support the Compensatory Leave Chart will cause the file to be returned to you for completion.
6. If quota corrections are made, the AASIS Quota Correction forms must be included in the file with a justification and supporting documentation.
7. If an employee retired or terminated after the 15th of the month but prior to the end of the month, manually transfer their mid-month accrual.
8. Enclose with terminated file a Leave Payout Request Form signed by supervisor and timekeeper, showing the number of hours to be paid, and submit to Central HR **OR** enclose a transfer letter for employees transferring to participating AASIS agencies.

Retiring employees must have Sick Leave Incentive Notification form.

Audit of Terminated File Checklist

Assemble all documents needed for Leave Audit as follow:

- ☐ Leave Payout Authorization or Transfer Form signed by supervisor and timekeeper.
- ☐ Manual Leave Calendars for prior 2 years that balance with PT50 screenshot. (Include PT50 Screenshot).
- ☐ Submit Time Sheets and Leave Requests for the last 2 years. Timesheets as well as Leave Requests must be signed by employee and supervisor. Weekly hours on timesheet must be totaled.
- ☐ Submit manual Leave Calendars for the last 2 years.
- ☐ Submit manual compensatory time charts for the last 2 years.

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